

## FERENCE & ASSOCIATES

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### FACSIMILE COVER SHEET

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**To:** Commissioner for Patents  
**Fax Number:** (703) 872-9326

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**From:** Stanley D. Ference III  
**Date:** July 30, 2004  
**Pages:** 15 pages (including this cover sheet)

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#### MESSAGE:

Application No. 09/863,920  
Examiner Daniel S. Felton  
Art Unit 3624

Amendment Transmittal  
Amendment

FR91999007US1  
(590.106)

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Amendment Transmittal

Atty. Docket No. FR919990071US1  
(590.106)

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : Blanchard et al.  
Serial No. : 09/863,920 Examiner : Daniel S. Felton  
Filed : May 23, 2001 Group Art Unit : 3624  
For : SYSTEM AND METHOD FOR STOCK OPTIONS MARKET  
MANAGEMENT

HON. COMMISSIONER OF PATENTS AND TRADEMARKS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Transmitted herewith is an Amendment in the above-identified application.

1. ☐ Applicant requests an extension of time to respond to the outstanding Office Action. A Petition for an extension of time is enclosed.
- OR
2. ☒ In the event that an extension of time is required, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.
3. ☐ Small Entity status of this application has been established by a verified statement previously submitted.
4. ☐ A verified statement to establish Small Entity status is enclosed.

CERTIFICATE OF TRANSMITTAL UNDER 37 CFR § 1.8(a)

I hereby certify that this correspondence and any referred to as being attached or enclosed therewith is being facsimile transmitted to the United States Patent and Trademark Office, Fax No. (703) 872-9326 on July 30, 2004.

Stanley D. Perence III  
(Type or print name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)

Page 1 of 2

**FERENCE & ASSOCIATES**  
*Amendment Transmittal*

 Atty. Docket No. FR919990071US1  
 (590.106)

5. ☐ Also enclosed: \_\_\_\_\_
6. ☒ No additional filing fee is required.
7. ☒ The filing fee has been calculated as shown below:

	Claims Remaining After Amendment (Col. 1)	Highest No. Prev. paid for (Col. 2)	Present Extra (Col. 3)	SMALL ENTITY			OTHER THAN A SMALL ENTITY	
				RATE	FEE		RATE	FEE
Total Claims	14	** 20	= * 0	x \$9	=	O	x \$18	= 0
Ind. Claims	3	*** 3	= * 0	x \$42	=	O	x \$84	= 0
<input type="checkbox"/> Multiple Dependent Claim Presented				+ \$140	=	O	+ \$280	=
				<b>TOTAL</b>	= \$	O	<b>TOTAL</b>	= \$0

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

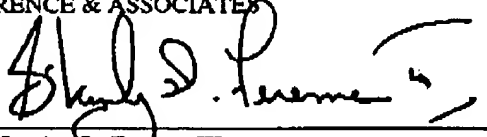
\*\* If the "Highest No. Prev. paid for" in this space is less than 20, write "20" in this space.

\*\*\* If the "Highest No. Prev. paid for" in this space is less than 3, write "3" in this space.

8. ☐ Applicant encloses herewith a check for \$\_\_\_\_\_ to cover the filing fee.
9. ☐ Attached hereto is a completed Credit Card Payment Form. Please charge the credit card identified thereon in the amount of \$\_\_\_\_\_ to cover the filing fee required under 37 CFR 1.17(e).
10. ☐ The Commissioner is hereby authorized to charge the \$\_\_\_\_\_ filing fee to Deposit Account No. 50-0510.
11. ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510.

Respectfully submitted,

FERENCE &amp; ASSOCIATES

 By   
 Stanley D. Ference III  
 Reg. No. 33,879

 Dated: July 30, 2004
**Mailing Address:**

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Atty. Docket No. FR91999007US1  
(590.106)

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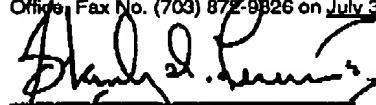
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In re Application of : Blanchard et al.  
Serial No. : 09/863,920 Examiner : Felton, D.  
Filed : May 23, 2001 Art Unit : 3624  
For : SYSTEM AND METHOD FOR STOCK OPTIONS  
MARKET MANAGEMENT

July 30, 2004

AMENDMENT

I hereby certify that this correspondence and any documents referred to as enclosed  
therewith are being facsimile transmitted to the United States Patent and Trademark  
Office, Fax No. (703) 872-9826 on July 30, 2004.



Stanley D. Ference III  
Reg. No. 33,879

July 30, 2004  
Date of Signature

Assistant Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Responsive to the Office Action dated April 30, 2004, kindly enter the following  
amendments. The amendments find full support in the claims and/or specification as originally  
filed.

Amendments to the Claims are reflected in the listing of claims which begins on Page 2  
of this paper.

Remarks begin on Page 7 of this paper.